

Ratified	Feb 1998
Last reviewed	Aug 2007
Review due	Aug 2010
Contact person	VPC

Records Management for Ethics Files

Policy

Speech Pathology Australia recognises the sensitive nature of matters relating to ethical complaints and will ensure confidentiality is maintained at all times.

Guidelines

Documentation

- During the complaint period, all initial correspondence will be held in a secure place by the Senior Advisor Professional Issues (SAPI)
- In addition, a summary of contact with relevant parties and correspondence will be maintained (*Appendix 1*).
- If and when a complaint merits further investigation a copy of all the above documentation will be forwarded to the Chair of the Ethics Board.
- For the duration of the investigation, a nominated member of the Investigation Panel will maintain a record of all correspondence, written transcripts and minutes of meetings.
- This documentation will be returned to National Office by the nominated member of the Investigation Panel within 28 days after a decision is made by Council or when a complaint is withdrawn.
- All remaining documentation held by other committee members pertaining to an investigation (e.g. copies of correspondence) will be returned to National Office for shredding at the closure of the case.

Correspondence

- The Senior Advisor Professional Issues (SAPI) is responsible for all administrative support for ethical investigations
- All correspondence will be marked 'Confidential'.
- All records held by the Senior Advisor Professional Issues (SAPI) and members of the Ethics Board and Investigation Panel will be in a folder marked 'Confidential'.
- Copies of correspondence printed at National Office will be held by the Senior Advisor Professional Issues (SAPI).

- Emails sent to National Office will be forwarded to the Senior Advisor Professional Issues (SAPI); they will then be deleted from the main system.

Storage

- Ethics Board members will store all correspondence in a secure place and keep confidential at all times.
- All records relating to cases which have been investigated by the Ethics Board will be stored in a locked filing cabinet in the office of the Chief Executive Officer (CEO) at National Office.
- In accordance with legal advice (2006), records will be kept for a minimum of twelve years.
- A password protected database of queries and complaints received and ethical cases investigated will be maintained by the Senior Advisor Professional Issues (SAPI).

Appendix 1: Ethics Procedures Contact Summary

Contact Summary

Ethics Procedures

To be maintained by the Senior Advisor Professional Issues. Please document all contact with relevant parties, meeting dates of the Ethics Board and correspondence.

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